

 NORFOLK Department of Police	Administrative General Order – ADM-425: Inspections		
	Office of Preparation: Office of Support Services (mar)		
	CALEA: 53.1.1, 53.2.1		
LEGAL REVIEW DATE:	August 9, 2017	PRESCRIBED DATE:	9/1/2017
City Attorney:	Heather A. Muller	City Manager/Director of Public Safety:	Douglas J. Smith
APPROVED BY THE AUTHORITY OF THE CHIEF OF POLICE:		<i>[Signature]</i>	

Purpose:

The purpose of this order is to establish policies and procedures for conducting inspections/audits and to set forth responsibilities of the Risk Management function, ensuring continuous compliance to established protocol.

Policy:

The policy of the Department of Police is to conduct periodic inspections/audits of functions, processes, equipment, facilities, and personnel within the department.

The department will maintain an active inspections/audits program (both line and staff) to ensure the agency is in compliance: using resources, following practices, and providing services in the most effective, efficient, and proper manner. This process will enhance the working conditions and environment for all personnel assigned to the Department of Police and ensure delivery of the highest quality service to the community.

Supersedes:

1. G.O. ADM-425: Inspections, dated November 16, 2016
2. Any previously issued directive conflicting with this order

Order Contents:

- I. Line Inspections
- II. Staff Inspections

I. Line Inspections (CALEA 53.1.1)

- A. Line inspections will be conducted periodically by supervisors. The frequency of inspection will depend upon its purpose or governing directive. (CALEA 53.1.1.b)
- B. Supervisors will conduct both announced and unannounced line inspections, which will include the following: (CALEA 53.1.1.c)
 - 1. Informal inspections on a daily basis, beginning with roll call and continuing throughout the shift, of employees' appearance, demeanor, and use and maintenance of equipment, e.g., vehicle and gun.
 - 2. Formal inspections of equipment, property, facilities, organizational components, and functions which may be conducted less frequently than daily. These inspections will be conducted in accordance with applicable directives or as frequently as necessary to ensure compliance with known standards.
 - 3. The reinspection of substandard conditions within one week to ensure the condition(s) have been corrected or that a plan of action has been developed and implemented to correct the condition. Reinspections should be conducted sooner when conditions exist that may result in personal injury or, otherwise, place the City in a position of liability. (CALEA 53.1.1.e)
- C. Documentation addressing formal inspections will be maintained by individual commands and will note the date of inspection, name(s) of inspecting officer(s), and inspection objective (e.g., vehicle condition, knowledge of policy, condition of weapon). Documentation will include the following, if applicable: (CALEA 53.1.1.a)
 - 1. Exemplary operational and managerial techniques and accomplishments.
 - 2. Chronic substandard conditions.
 - 3. Substandard conditions that present a serious degradation in the unit's ability to accomplish its mission.
 - 4. Substandard conditions outside the scope of the inspecting officer's responsibility.
 - 5. Conditions that will require in excess of one week and/or assistance from other than the supervisor to correct.
- D. Reports of major discrepancies or deficiencies will be forwarded via the chain of command to the appropriate division or authority, based on the seriousness of the condition(s) noted. (CALEA 53.1.1.d)

- E. The discrepancies or deficiencies should be reviewed and documented on a bi-weekly basis until resolved or corrected. The line inspection does not relieve the supervisor of responsibility for making daily observations of personnel, material, and equipment, and taking action as necessary. (CALEA 53.1.1.e)

II. Staff Inspections (CALEA 53.2.1)

- A. Inspections will be conducted under the authority of the Chief of Police, by the Compliance Inspectors, or members of Risk Management. A staff inspection of all organizational components will be conducted at least once every four years. (CALEA 53.2.1.a,e)
- B. The authority of Risk Management compliance inspectors is limited to observations and fact-finding. Recommendations for corrective action will be made only in specific circumstances noted under "Special Inspections." Personnel have neither the responsibility nor the authority for taking corrective action and will not attempt to do so, except under circumstances where failure to do so would jeopardize the department's reputation or mission, or might result in a hazardous condition.
- C. During an inspection, Risk Management compliance inspectors will be given complete access to facilities, records, and equipment, etc. of the organizational component being inspected, and to personnel assigned.
- D. Objectives of Staff Inspections
 - 1. Identify exemplary operational and managerial techniques and accomplishments.
 - 2. Identify weaknesses, vulnerability, and risk, to fix responsibility and to suggest possible corrective action when appropriate.
 - 3. Determine if department personnel are performing duties according to the City's and the department's mission, standards, goals, vision, values, directives, procedures, orders, and rules and regulations.
 - 4. Audit all cash accounts and conduct an annual inventory of the property and evidence holdings.
 - 5. Ensure that all operations and activities within the department are ethical.
 - 6. Report results to the Chief of Police.

E. Types of Staff Inspections

1. General Inspections:

- a. Examine the mission, organization, human resources, operational activities, facilities, equipment, physical assets, policies, programs, and procedures, with an emphasis on efficiency.
- b. Examine activities within the 12-month period immediately preceding the date of inspection.
- c. Are normally announced in advance of the planned visit.

2. Special Inspections:

- a. Examine, evaluate, and analyze a specific procedure, policy, or condition identified by the Chief of Police as requiring special attention.
- b. Examine a questionable element, identify causative factors, and recommend corrective action.
- c. May or may not be announced.

3. Spot Inspections are conducted:

- a. When and where conditions dictate.
- b. As a result of a previous unsatisfactory evaluation during an inspection.
- c. To identify and correct unsatisfactory conditions.
- d. To preclude recurrence.

F. Audit/Inspections Procedure

1. An inspection is accomplished by: (CALEA 53.2.1.b)

- a. Interviewing members or employees of the department, persons involved in police incidents, and the general public.
- b. Analyzing inspection reports, police records, police statistics, police procedures, and equipment.
- c. Observing personnel and conditions at police facilities and public places.

2. The commanding officer of the Office of Professional Standards is responsible for developing and maintaining a Risk Management Inspections Procedures Manual.
3. An inspection or audit may be suggested or requested by any employee of the department by completing PD 031 – Request for Audit or Inspection (Attachment) and submitting via the chain of command to Risk Management.
4. Both announced and unannounced audits/inspections will be conducted.
5. An audit team member will give a preinspection briefing prior to starting the inspection. The briefing will include but not be limited to:
 - a. the objectives and the specific areas to be covered in the inspection, and
 - b. any request for assistance, including questions to be answered, documents to be produced, or any other action necessary to facilitate the inspection.
6. An inspection plan for all scheduled audits/inspections will be submitted to the OPS commanding officer prior to the audit or inspection.

G. Post Audit/Inspection Activity

1. The auditor/inspector will be responsible for the completion of a constructive, written report at the conclusion of each inspection. These reports will be clear, complete, and concise. (CALEA 53.2.1.c)
2. When its operation is in compliance with standards, the organizational component inspected and its personnel will be recognized.
3. Whenever possible, all reports will be discussed with the organizational component's commander prior to final submission.
4. The OPS commanding officer will ensure that a written report of the findings of each audit/staff inspection is prepared and distributed to the Chief of Police and the appropriate Assistant Chief.
5. The discrepancies or deficiencies should be reviewed and documented in writing until resolved or corrected. (CALEA 53.2.1.d)
6. Copies of the written reports will be maintained by Risk Management.

Definitions:

Inspection - A process for observing, evaluating, and reporting the quality of department operations using appropriate standards, thereby ensuring the City's and the Police Department's mission, standards, goals, vision, and values are being pursued. As a by-product, the need for changes in directives, procedures, orders, rules, and regulations will be identified.

Line Inspection - An inspection conducted by supervisors who are directly responsible for the particular function and activity of persons, facilities, equipment, procedures, or other items. Line inspections are made by those who have the authority and responsibility to require immediate corrective actions.

Staff Inspection - A detailed observation and analysis of department personnel, facilities, equipment, procedures, or other items designed to inform the Chief of Police about the efficiency and effectiveness of their performance. Staff inspections are a process outside the normal lines of authority and responsibility, and are conducted to examine a specific function, entity, or process. The emphasis will be on the system rather than the individual. Staff inspections may be conducted in concert with persons, agencies, businesses, or entities which have been authorized to provide such assistance by the Chief of Police.

Audit - An examination of files, records, accounts, claims, etc., to determine their accuracy. Audits may be conducted in concert with persons, agencies, businesses, or entities which have been authorized to provide such assistance by the Chief of Police.

Efficient - Performing or functioning in the most economical, practical, and productive manner.

Effective - Performing to produce the intended or expected results.

Informal Staff Visit - Such consultation is designed to exchange information and can be instructional, fact-finding, opinion-gathering, etc., and may be generated by a request from any level of the department. Such informal staff visits are intended to facilitate normal operations and prevent the occurrence of problems. Thus, they are exempt from any formal reporting requirements.

Related Documents:

1. City Code, Police Chapter 33
2. Police Officer's Manual, Norfolk Police Department
3. City of Norfolk Personnel Administrative Policies Manual
4. National Criminal Information Center (NCIC) Manual
5. Virginia Criminal Information Network (VCIN) Manual
6. OPS – Risk Management, Standard Operating Procedures Manual, Appendix C
7. Memo 17-063: Inspection/Audit Reports

Attachment:

PD 031 Request for Audit or Inspection

New Request for Audit or Inspection 2

This request is for the Audit or Inspection: _____ (Command/Bureau/Unit)
(circle one)

Describe the issue/concern that prompts this request including witnesses, if any:

[illegible]

Time/Date or approximate timeframe of incident or situation:

REQUESTOR

Requestor's Name (Optional)* / Rank or Title

Signature _____

Command/Bureau

Employee ID #

Phone

APPROVED (Signed and Dated)

Immediate Supervisor

Executive Officer (if applicable)

Commanding Officer/Bureau Head

Forward copy of completed form to Risk Management.

Risk Management use only: Inspection #:

Audit/Inspection Conducted ☐ Yes/Date _____ ☐ No
OR

Received by: _____
Signed and Dated _____

Forwarded to _____ for handling. Date _____
Command _____

Response sent to Requestor ☐ Yes/ Date _____ ☐ No

** Anonymous requests may be submitted via interoffice mail to the Operations Officer, Police Administration Building (PAB), who will forward the request to Risk Management.*